

01-25-02

A

01/23/02

Use type a plus sign (+) inside this box → ☐

PTO/SB/05 (12/97)

Approved for use through 09/30/00. OMB 0551-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

The Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Attorney Docket No. **X-10911A**

**UTILITY**

**PATENT APPLICATION**

**TRANSMITTAL**

for new nonprovisional applications under 37 CFR 1.53(b)

First Named Inventor or Application Identifier

Chin-Ming Chang and Henry A. Havel

Express Mail Label No. **EL018700462US**

**Application Elements**

See MPPE Chapter 600 concerning utility patent application contents.

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☐ Fee Transmittal Form (original, and a duplicate for fee processing) (Submit an original, and a duplicate for fee processing)
2. ☒ Specification (preferred arrangement set forth below) [Total Pages **16**]
- Descriptive title of the invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claims
- Abstract of the Disclosure
3. ☐ Drawing(s) (35 USC 113) [Total Sheets **3**]
4. ☐ Oath or Declaration [Total Pages **3**]
- ☐ Newly executed (original or copy)
- ☒ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below]
- i. ☐ **DELETION OF INVENTOR(S)** Signed statement indicating deleting inventor(s) named in the prior application, see 37 CFR 1.63(d) (2) and 1.33(b).
- ☒ **Incorporation By Reference** (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

#### ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
14. ☐ Small Entity Statement filed in prior application. Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: **XXX**

17. **If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:**
- ☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application
- No. **09/555,476/Filed: May 31, 2000**

#### 18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label (Insert Customer No. Or Attach bar code label here) or Correspondence address below

**Eli Lilly and Company**

ADDRESS

Lilly Corporate Center  
Patent Division DC: 1104



**25885**

**PATENT TRADEMARK OFFICE**

CITY	Indianapolis	STATE	Indiana	ZIP CODE	46285
COUNTRY	U.S.A.	TELEPHONE	317-276-9934	FAX	317-276-3861

**SUBMITTED BY**

Typed or Printed Name	Thomas D. Webster	Complete (if applicable)	
Signature	<i>Thomas D. Webster</i>	Reg. Number	39,872
		Date	January 22, 2002

\*Express Mail® mailing label number **EL018700462US**

Date of Deposit

I hereby certify that this paper or fee is being deposited with the United States Postal Service \*Express Mail Post Office to Addressee\* service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.

Printed Name

Signature

Please type a plus sign (+) inside this box → ☐

PTO/SB/17 (12/97)

Approved for use through 09/30/00. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid GDS control number.

Complete if Known

## FEE TRANSMITTAL

Note: Effective November 10, 1997,  
Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$740.00)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:Deposit Account Number: 05-0840  
Deposit Account Name: Eli Lilly and Company☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance2. ☐ Payment Enclosed:☐ Check ☐ Money Order ☐ Other

## FEE CALCULATION

1. FILING FEE					
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
SUBTOTAL (1)					(\$740.00)

2. CLAIMS					
Total Claims	10	-20**	0	X	18
Independent Claims	2	-3**	0	X	84
Multiple Dependent Claims (first time)			0	X	280

Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
109	84	209	42	Reissue independent claim over original patent	
110	18	210	9	Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$)

\*\*or number previously paid, if greater; For Reissues, see above

## SUBMITTED BY

Typed or Printed Name: Thomas D. Webster

Signature: *Thomas D. Webster*

"Express Mail" mailing label number: ELO1870046ZUS

Date of Deposit: Jan. 23, 02

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail" Post Office to Addressee's service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Assistant Commissioner of Patents, Washington, D.C. 20231.

Printed Name: *Thomas D. Webster*Signature: *Thomas D. Webster*

Application Number	
Filing Date	
First Named Inventor	
Group Art Unit	
Examiner Name	
Attorney Docket Number	

X-10911A

## FEE CALCULATION (continued)

3. ADDITIONAL FEES					
Large Fee Code	Entity (\$)	Small Fee Code	Entity (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge-late filing fee or oath	
127	50	227	25	Surcharge-late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reconsideration	
112	920*	112	920*	Requesting publication of SR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive-unavoidable	
141	1,280	241	640	Petition to revive-unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design Issue Fee	
144	620	244	310	Plant Issue Fee	
122	130	122	130	Petitions to the Commissioner	
123	80	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt.	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
Other fee (specify)					
*Reduced by Basic Filing Fee Paid					

SUBTOTAL (3) (\$)

Complete (if applicable)

Reg. Number: 39,872

Date: January 22, 2002